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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Lucent Technologies Inc.

Application No./Patent No.: 10/803,565 Filed/Issue Date: March 18, 2004

Entitled: RESERVE CELL ARRAY NANOSTRUCTURED BATTERY

Lucent Technologies inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 015121, Frame 0834, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:


1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature  
Gregory J. Murgia

Printed or Typed Name

Corporate Counsel

Title

13 May 04  
Date  
908-582-7109

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



DPD

**UNITED STATES PATENT AND TRADEMARK OFFICE**UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

SEPTEMBER 14, 2004

PTAS



\*102703584A\*

DOCKET ADMINISTRATOR  
DAVID W. HERRING  
101 CRAWFORDS CORNER ROAD  
HOLMDEL, NJ 07733-3030UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/18/2004

REEL/FRAME: 015121/0834

NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HODES, MARC SCOTT

DOC DATE: 03/18/2004

ASSIGNOR:

KOLODNER, PAUL ROBERT

DOC DATE: 03/18/2004

ASSIGNOR:

KROUPENKINE, TIMOFEI NIKITA

DOC DATE: 03/18/2004

ASSIGNOR:

LYONS, ALAN MICHAEL

DOC DATE: 03/18/2004

ASSIGNOR:

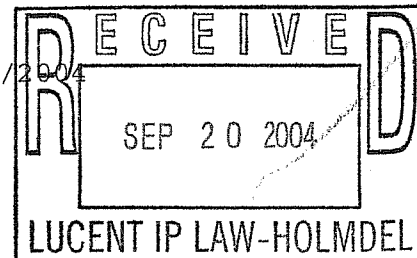
MANDICH, MARY LOUISE

DOC DATE: 03/18/2004

ASSIGNOR:

TAYLOR, JOSEPH ASHLEY

DOC DATE: 03/18/2004



015121/0834 PAGE 2

ASSIGNOR:

WIELL, DONALD

DOC DATE: 03/18/2004

ASSIGNEE:

LUCENT TECHNOLOGIES, INC.

600 MOUNTAIN AVENUE

P.O. BOX 636

MURRAY HILL, NEW JERSEY 07974-0636

SERIAL NUMBER: 10803565

FILING DATE: 03/18/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: RESERVE CELL-ARRAY NANOSTRUCTRED BATTERY

TONYA LEE, EXAMINER

ASSIGNMENT DIVISION

OFFICE OF PUBLIC RECORDS

03-25-2004



To the Honorable Commissioner of Patents and Trademarks

Final documents or copy thereof.

1. Name of conveying party(ies): 3-1804

- |                               |                         |
|-------------------------------|-------------------------|
| 1. Marc Scott Hodes           | 5. Mary Louise Mandich  |
| 2. Paul Robert Kolodner       | 6. Joseph Ashley Taylor |
| 3. Timofei Nikita Kroupenkine | 7. Donald Weiss         |
| 4. Alan Michael Lyons         |                         |

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Merger         |
| <input type="checkbox"/> Security Agreement    | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Other _____           |   |

Execution Date(s): 3/18/04

2. Name and address of receiving party(ies)

Name: Lucent Technologies Inc.

Internal Address: \_\_\_\_\_

Street Address: 600 Mountain Avenue

P.O. Box 636

City: Murray Hill State: NJ ZIP: 07974-0636

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s): 10803565

If this document is being filed together with a new application, the execution date of the application is: 3/18/2004

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Docket Administrator

Internal Address: Room 3J-219

Street Address: 101 Crawfords Corner Road

City: Holmdel State: NJ ZIP: 07733-3030

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number: 12-2325

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David W. Herring  
Name of Person Signing

[Signature]  
Signature

3/18/04  
Date

Total number of pages including cover sheet, attachments, and document: 9

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services  
Director of the US Patent and Trademark Office  
PO Box 1450  
Alexandria, VA 22313-1450

Case Name/No.: Hodes 7-13-19-21-14-10-5

## **ASSIGNMENT AND AGREEMENT**

For value received, we, Marc Scott Hodes, of New Providence in the County of Union and the State of New Jersey, and Paul Robert Kolodner, of Hoboken in the County of Hudson and the State of New Jersey, and Timofei Nikita Kroupenkine, of Warren in the County of Somerset and the State of New Jersey, and Alan Michael Lyons, of New Providence in the County of Union and the State of New Jersey, and Mary Louise Mandich, of Martinsville in the County of Somerset and the State of New Jersey, and Joseph Ashley Taylor, of Springfield in the County of Union and the State of New Jersey, and Donald Weiss, of Cresskill in the County of Bergen and the State of New Jersey, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey, 07974-0636, U.S.A. and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **RESERVE CELL-ARRAY NANOSTRUCTURED BATTERY**


described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

  
Marc Scott Hodes

Date: 3/18/04

United States of America )

State of New Jersey ) ss.:  
County of Union )

On this 18th day of March, 2004, before me personally came, Marc Scott Hodes to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

Paul Robert Kolodner  
Paul Robert Kolodner

Date: 3/18/04

United States of America )

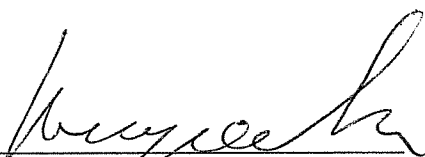
State of New Jersey ) ss.:

County of Union )

On this 18th day of March, 2004, before me personally came, Paul Robert Kolodner to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Susan A. Schuchard  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

  
Timofei Nikita Kroupenkine

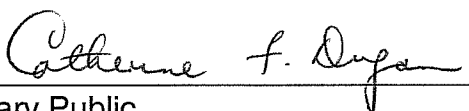
Date: 03/18/2004

United States of America )

State of New Jersey ) ss.:

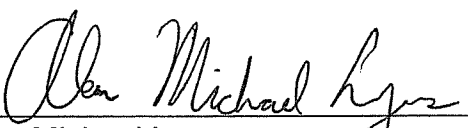
County of Union )

On this 18th day of March, 2004, before me personally came, Timofei Nikita Kroupenkine to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

CATHERINE F. DUGAN  
NOTARY PUBLIC OF NEW JERSEY  
Commission Expires 1/17/2007



  
Alan Michael Lyons

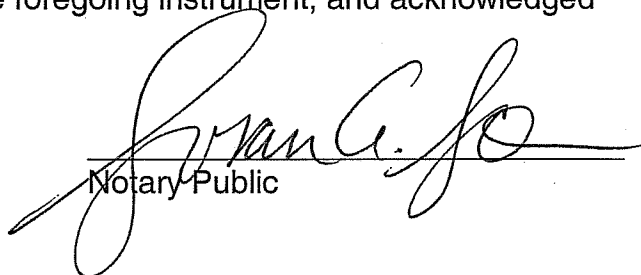
Date: 3/18/2004

United States of America )

State of New Jersey ) ss.:

County of Union )

On this 18<sup>th</sup> day of March, 2004, before me personally came, Alan Michael Lyons to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

Mary Louise Mandich  
Mary Louise Mandich

Date: 03/18/04

United States of America )

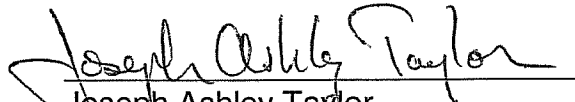
State of New Jersey ss.:

County of Union )

On this 18th day of March, 2004, before me personally came, Mary Louise Mandich to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Susan A. Schuchard  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

  
Joseph Ashley Taylor

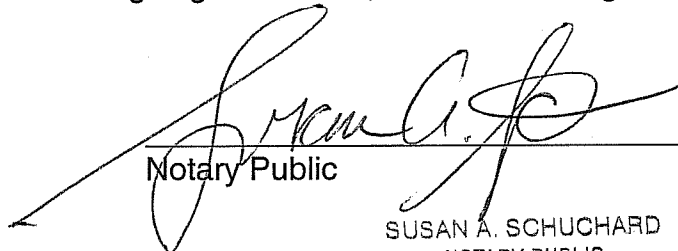
Date: 03/18/2004

United States of America )

State of New Jersey ) ss.:

County of Union )

On this 18th day of March, 2004, before me personally came, Joseph Ashley Taylor to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

  
Donald Weiss

Date: 18 Mar 04

United States of America )

State of New Jersey ) ss.:

County of Union )

On this 18<sup>th</sup> day of March, 2004, before me personally came, Donald Weiss to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

SUSAN A. SCHUCHARD  
NOTARY PUBLIC  
STATE OF NEW JERSEY  
MY COMMISSION EXPIRES JUNE 5, 2008

Lucent Technologies Inc.  
Docket Administrator (Room 3J-219)  
Lucent Technologies Inc.  
101 Crawfords Corner Road  
Holmdel, NJ 07733-3030